

CLAIMSWhat is claimed is:

- 5 ~~52a~~ 1. A data processing system for managing broker transaction information in compliance with governmental regulations, comprising:
- (a) computer processor means for processing data;
 - (b) storage means for storing said data on a storage medium;
 - (c) communication means for transmitting and receiving data in a secure environment to and from various remote locations;
 - (d) first computer software means for creating trade data
 - 10 concerning a particular trade in the form of a trade record;
 - (e) second computer software means for reviewing said trade data, and for approving/disapproving of the trade record; and
 - (f) third computer software means for maintaining security measures for said data processing system to prevent unauthorized access
 - 15 and use of said trade data.
2. A data processing system, as claimed in claim 1, wherein said first computer software means further comprises:
- means for inputting and storing on said storage means system information.
- 4 3. A data processing system, as claimed in claim 1, further comprising:
- means for monitoring the modification of trade data in respective trade records which are created by said first computer software
- 5 means.

5. A data processing system, as claimed in claim 1, further comprising:

means for monitoring the activity of a particular broker representative who enters trade data through said first computer software means.

7. A data processing system, as claimed in claim 1, further including:
means for creating and outputting daily trade blotter information.

8. A data processing system, as claimed in claim 1, further including:
means for creating and outputting checks/securities blotters.

↳ 9. A data processing system, as claimed in claim 1, further including:
means for creating and outputting buy and sell tickets.

means for creating and outputting client activity logs.

5 creating data files in the main server database corresponding
to the entered trade data;

12. A method, as claimed in claim 11, further including the steps of:

13. A method of managing and processing broker transaction data, said method comprising the steps of:

inputting broker transaction data on a broker computer of a data processing system reflective of a trade of a security;

5 forwarding the broker transaction data to a main computer
having a main database;

recording the transaction data on the main database in the form of an original trade record;

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indicating approval/rejection by the branch manager; and

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system, and said transaction data and said trade record are manipulated electronically.

14. A method, as claimed in claim 13, wherein:

transfer of the transaction data and the trade record is conducted in a secure environment by encryption and decryption.

15. A method, as claimed in claim 13, further including the step of:

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16. A method, as claimed in claim 13, further including the steps of:

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forwarding, recording,

creating an output reflective of the plurality of trade records in the form of a desired report.

17. A method, as claimed in claim 16, wherein said desired report is a daily trade blotter.

18. A method, as claimed in claim 16, wherein:
said desired report is a check/securities received blotter.

19. A method, as claimed in claim 16, wherein:
said desired report is in the form of a buy and sell ticket.

20. A method, as claimed in claim 16, wherein:
said desired report is in the form of a client activity log.

21. A method, as claimed in claim 16, wherein:
said desired report is in the form of a trade audit report.

22. A method, as claimed in claim 13, further including the steps of:

inputting authentication data to gain authority to access the data processing system including a password, user ID, and system ID; and

5 verifying the authentication data to determine access to the data processing system.

23. A method, as claimed in claim 21, further including the step of:

creating an output in the form of a log-ins report reflective of log-ins made to the data processing system.

24. A method of processing and monitoring broker transaction data in the form of e-mail messages sent to a broker representative, said method comprising the steps of:

- receiving an incoming e-mail message from a party
5 requesting a trade of a security, the e-mail message being received on a broker computer of a data processing system;
forwarding the received e-mail message to a main server computer, and recording the e-mail message on a main database of the main computer;
10 forwarding the e-mail message to a branch manager's computer of the data processing system;
signifying approval/rejection of the e-mail message by a branch manager operating the branch manager's computer;
returning the approved/rejected e-mail message to the main
15 database of the main computer;
recording the status of the approved/rejected e-mail message in the main database;
returning the e-mail message to the broker representative computer for review by the broker representative; and
20 creating an output in the form of a compliance report reflective of rejected e-mail messages.

25. A method, as claimed in claim 24, wherein:
all said forwarding and returning steps are achieved by secure electronic transmission using encryption and decryption.

26. A method of processing and monitoring broker transaction data in the form of e-mail messages sent from a broker representative to a client, said method comprising the steps of:

- creating and recording an e-mail message on a local database
- 5 of a broker computer of a data processing system;
- forwarding the created e-mail message to a main server computer, and recording the e-mail message on a main database of the main computer;
- forwarding the e-mail to a branch manager's computer of the
- 10 data processing system;
- signifying approval/rejection of the e-mail message by a branch manager operating the branch manager's computer;
- returning the approved/rejected e-mail message to the main database of the main computer,
- 15 recording the status of the approved/rejected e-mail message in the main database;
- returning the e-mail message to the broker representative's computer for review by the broker representative; and
- creating an output in the form of a compliance report
- 20 reflective of rejected e-mail messages.

27. A method, as claimed in claim 26, wherein:

said forwarding and returning steps are achieved by secure electronic transmission using encryption and decryption.